

## **ExPrSS Securities, Inc. Business Continuity Planning Disclosure**

ExPrSS Securities, Inc. (ExPrSS) provides services using computer systems and financial relationships. The events of September 11, 2001 emphasized the importance of the capital markets in our economy. As a result, we have been working to improve our responses to various situations that have the potential to impact our ability to serve you. This disclosure document is designed to provide you with information on how we have approached and/or plan to approach various situations we may encounter.

### **Overview of ExPrSS Securities, Inc.**

ExPrSS is an introducing broker/dealer, offering a broad array of financial products and services. We provide these services through our corporate office in Russellville AR, as well as through independent registered representatives at remote locations throughout the United States.

Our clearing firm is Southwest Securities, Inc., located in Dallas TX. SWST maintains its own Business Continuity Plan to help assure we are able to service you in the event of a serious business disruption. We also maintain direct selling relationships with a number of mutual fund and variable insurance companies, and each of these companies also has its own BCP to help assure minimal disruptions to service in the event of a serious business disruption.

### **Business Continuity Plan**

Our BCP first insures the safety and security of our employees. The events of 9/11 emphasized the unique set of skills of personnel who work in our industry and the need to put their safety first so that after an interruption they are available to continue serving our customers. In addition to protecting our personnel, our BCP and daily operations are focused on preserving our critical firm and customer data through regular backups which are moved offsite either via media and/or real time transfer to a remote location. In the event of a significant business disruption, it is our plan to move our operations to a remote location, access mission critical data, and resume operations with minimal interruption to ongoing services to our customers.

In the event of a disruption, the following contact numbers are provided for your use in contacting our firm for issues relating to your account(s):

Corporate Office Location:	800-951-1708	479-968-1708
Florida Remote Location:	800-756-0920	972-285-3381
Southwest Securities – Dallas	800-793-7977	866-797-5227

Our planned recovery times for business redemption may be negatively impacted by the unavailability of external resources and circumstances beyond our control. We will continue to test and refine our plans as conditions deem necessary. A copy of this disclosure, as well as any updates, will be maintained on our corporate website.